

Results Framework Design

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Peru Alternative Development Project**

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Peru Alternative Development Program Results Framework Design

I. Background/Overview

The Alternative Development (AD) Task Force of USAID Peru contracted Chemonics International to assist both the Task Force and the AD Board of Directors in developing a Results Framework (RF). The framework was to include the results and indicators representing the contribution of all the Technical Teams within the Mission that contribute to Alternative Development results. The RF needed to represent the strategy of the Mission as defined by the Alternative Development Board of Directors. The work occurred in two phases: 1. The first phase (3/24 – 3/29/03) included background reading and interviews with the AD Task Force and Technical Team representatives. The interviews identified candidate results and indicators for the AD RF from each Technical Team Performance Monitoring Plan. 2. The second phase (4/21 – 4/25/03) involved RF design meetings alternating between the AD Task Force and the AD Board of Directors (2 meetings each for 2 – 3 hours.) The Board reached consensus on the RF, indicators, and critical assumptions by the end of their second design meeting. The AD Task Force reached consensus on a Statement of the Hypothesis and Research Agenda in their final debriefing meeting with the Chemonics consultant. Definitions of indicator baselines and targets were part of the Scope of Work but were not defined. The AD Technical Coordinator formed a working group of technical representatives of the Task Force, the Program Office and Chemonics to continue working on baseline and target definition.

II. Objectives

- Assist the AD Task Force to develop a draft Results Framework representing the contribution of all the Technical Teams that support Alternative Development results.
- Present draft RF plus any issues to the Board of Directors and record their decisions
- Assist the AD Task Force to revise the Draft RF with assumptions
- Work with SO Teams to clarify remaining issues and define assumptions, baselines/targets for indicators
- Present revised draft RF plus issues and record decisions
- Present final draft of the RF with indicators/baselines/targets and tasks for any remaining To Be Done's.

III. Method

The work occurred in two phases. The first phase (3/24 – 3/29/03) included background reading and interviews with the AD Task Force and Technical Team representatives. The consultant reviewed the Alternative Development RF, the Strategic Objective Agreement (SOAG), Chemonics contract, and the Performance Monitoring Plans (PMP) for all Mission SO Teams. Interviews with SO Team representatives identified candidate results and indicators for the AD RF from each Technical Team PMP. The consultant prepared

a draft RF with indicators and identified the SO Team reference for each indicator borrowed from an existing PMP. (See **Attachment 1** for the **initial RF**)

The second phase (4/21 – 4/25/03) involved RF design meetings alternating between the AD Task Force and the AD Board of Directors (2 meetings each for 2 – 3 hours.) The AD Task Force reviewed the first draft Monday and produced a revision. (See **Attachment 2** for the **Task Force 1st Draft RF**.) The Board of Directors met on Tuesday and produced a revision. (See **Attachment 3** for **Board 1st Draft RF**) The AD Task Force made additional changes on Wednesday for resubmission to the Board (See **Attachment 4** for **Task Force 2nd Draft RF**.) On Thursday the Board made final changes in the Results Framework, approved the assumptions and delegated decisions on selected indicators to appropriate members in follow-up meetings. The final draft (See **Attachment 5 Final Draft RF**) represents the decisions of the Board and final additions by representatives of the Democracy and Governance, Education, and Environment SO Teams. In a final review meeting of the RF, the Task Force also approved a statement of the Development Hypothesis and Research Agenda to test the hypothesis. (See **Attachment 6** for **Development Hypothesis**)

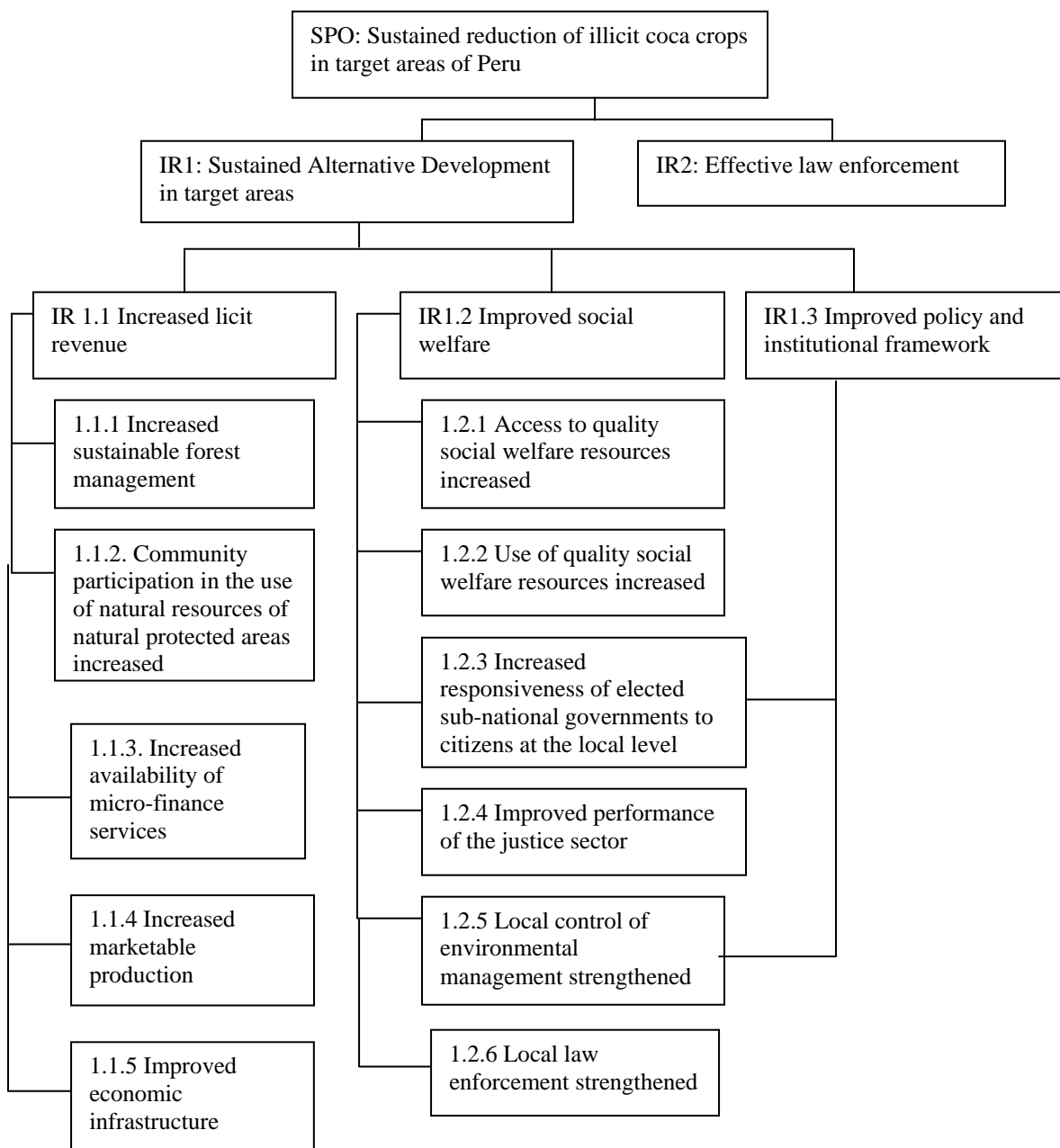
IV. Results and Pending Issues

The Final Draft RF (Attachment 5) and the Development Hypothesis (Attachment 6) represent the current strategy of the AD Board of Directors. **Attachment 7** lists those indicators with preliminary **baseline and target** definitions. During the course of developing the RF, the Task Force identified several issues and they are listed below with their respective status.

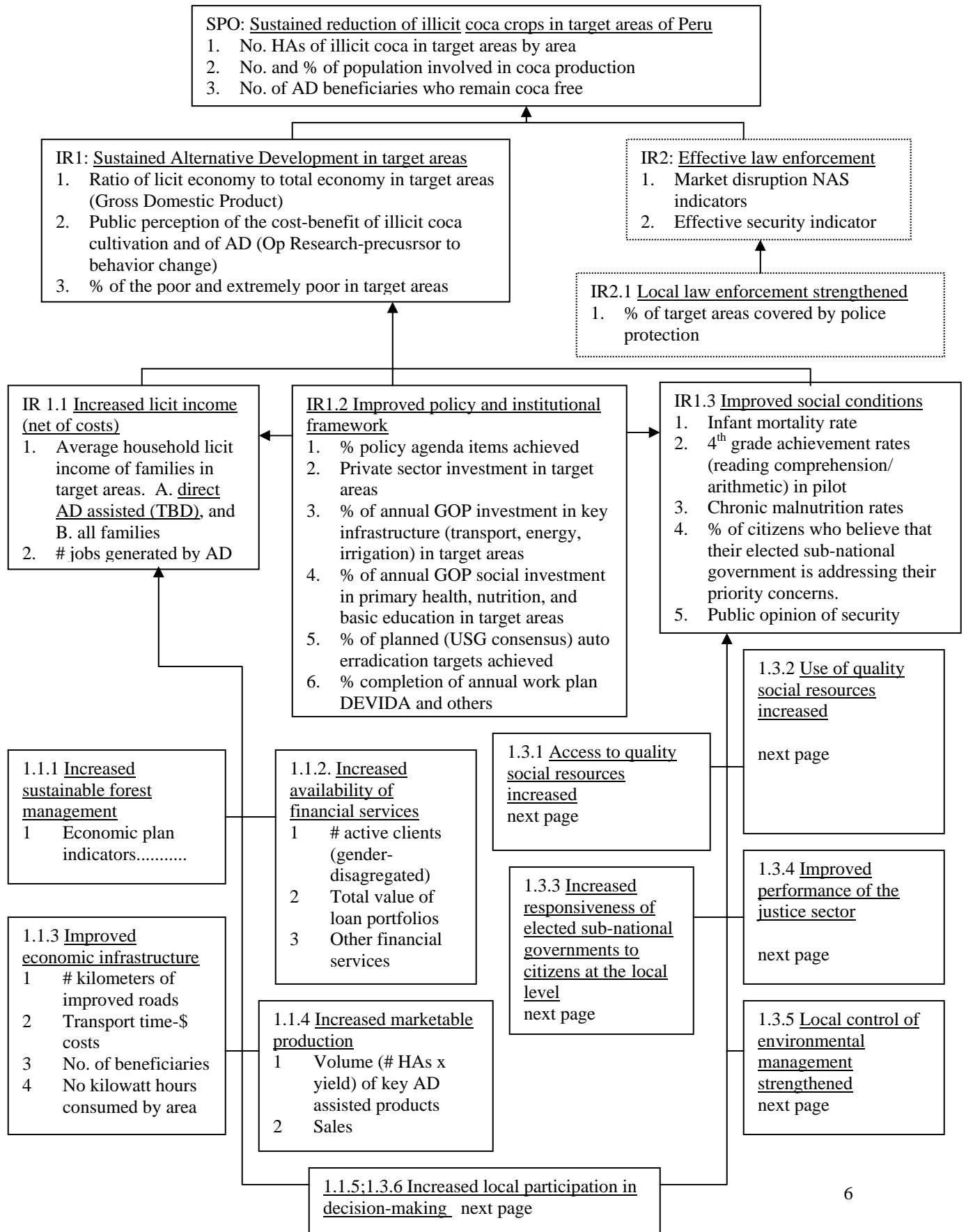
Issue	Outcome
Define AD target areas	AD target areas are geographically defined on a map by District “where coca can be grown” and designated by lines. There are 109 Districts within the target areas. Target Areas are subject to change in response to coca cultivation
Security issue	Local security strengthened is IR1.1 and in a dotted box as USAID does not presently support the result. However, a note at the bottom of the RF states: “This critical result is not supported by USAID and will need third party support to achieve results.”
What area will be monitored?	The AD Program will monitor the 7 Departments that include the target areas , when appropriate, and disaggregate the data for the target areas by District.
Research question: What is the minimum level of income required for a coca producer to be willing to reject coca cultivation?	This question became part of the Research Agenda.
Measuring the behavior change model	Behavior change is incorporated in the RF in IR2, 2.1 and 2.2. Richard Martin will be asked to help revise/define these results and indicators when he returns to the Mission.

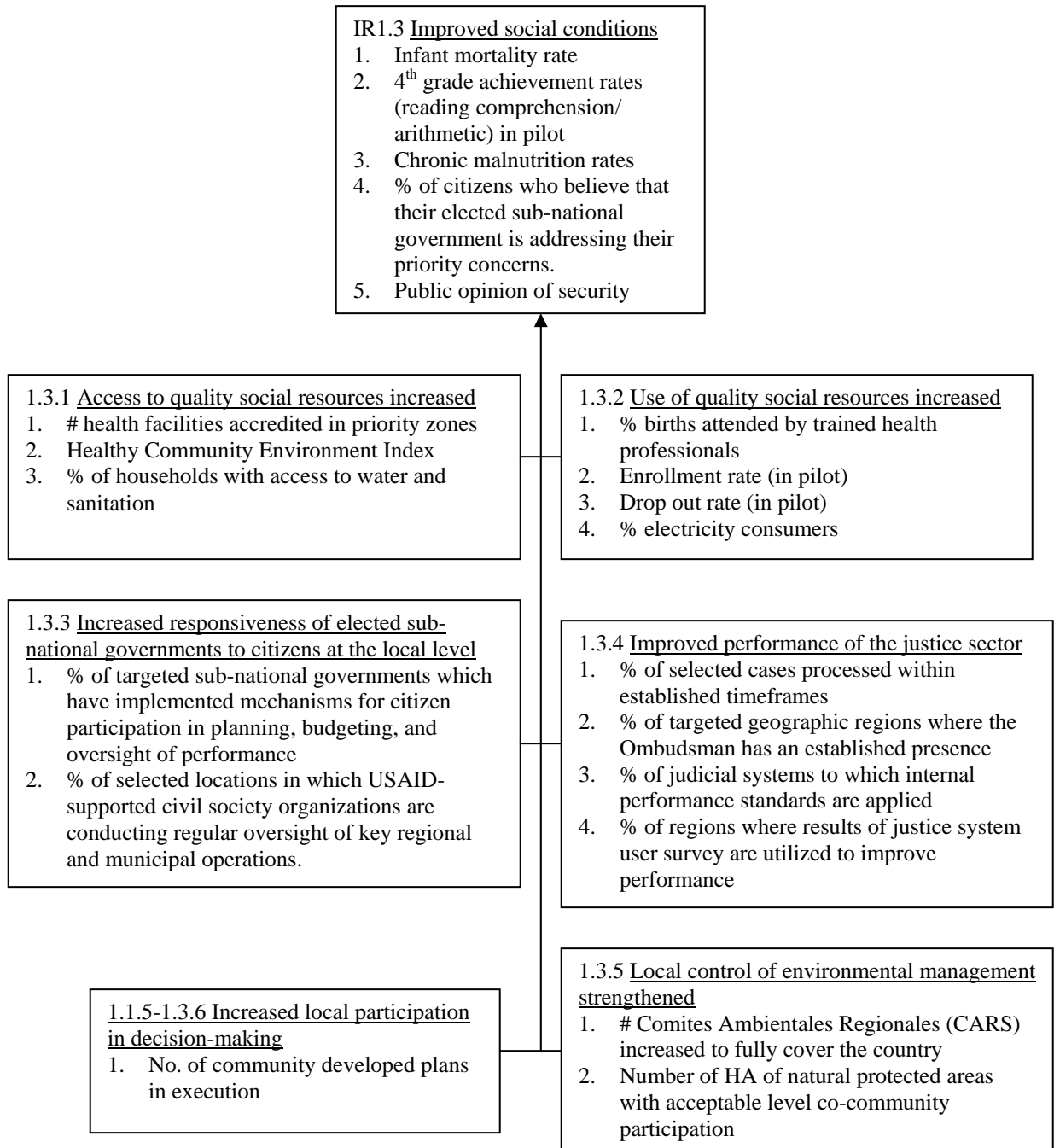
Issue	Outcome
Developing the PMP	The AD Technical Coordinator formed a working group of technical representatives of the Task Force, the Program Office and Chemonics to continue working on baseline and target definition.

Attachment 1: Initial DRAFT Alternative Development Results Framework

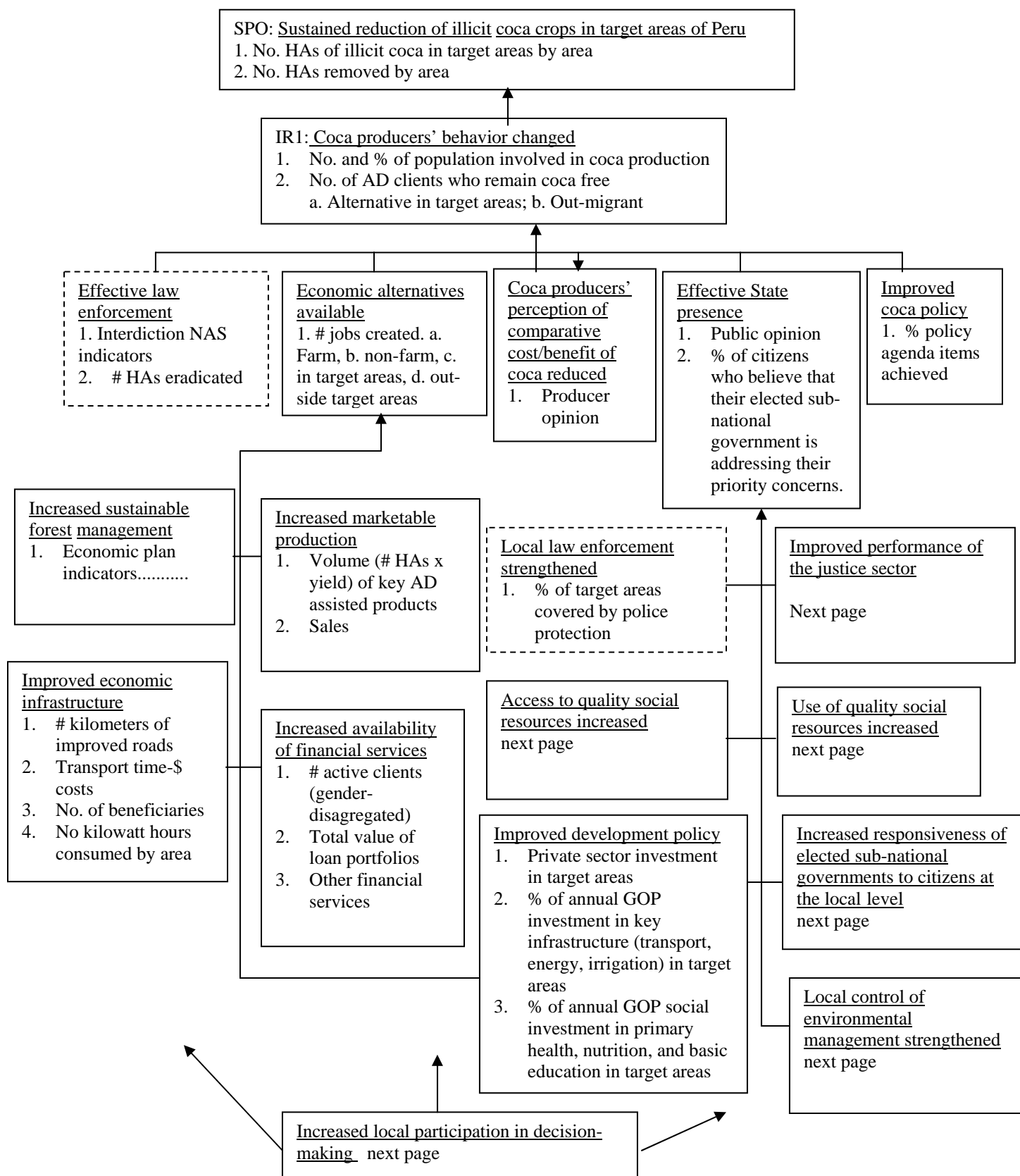


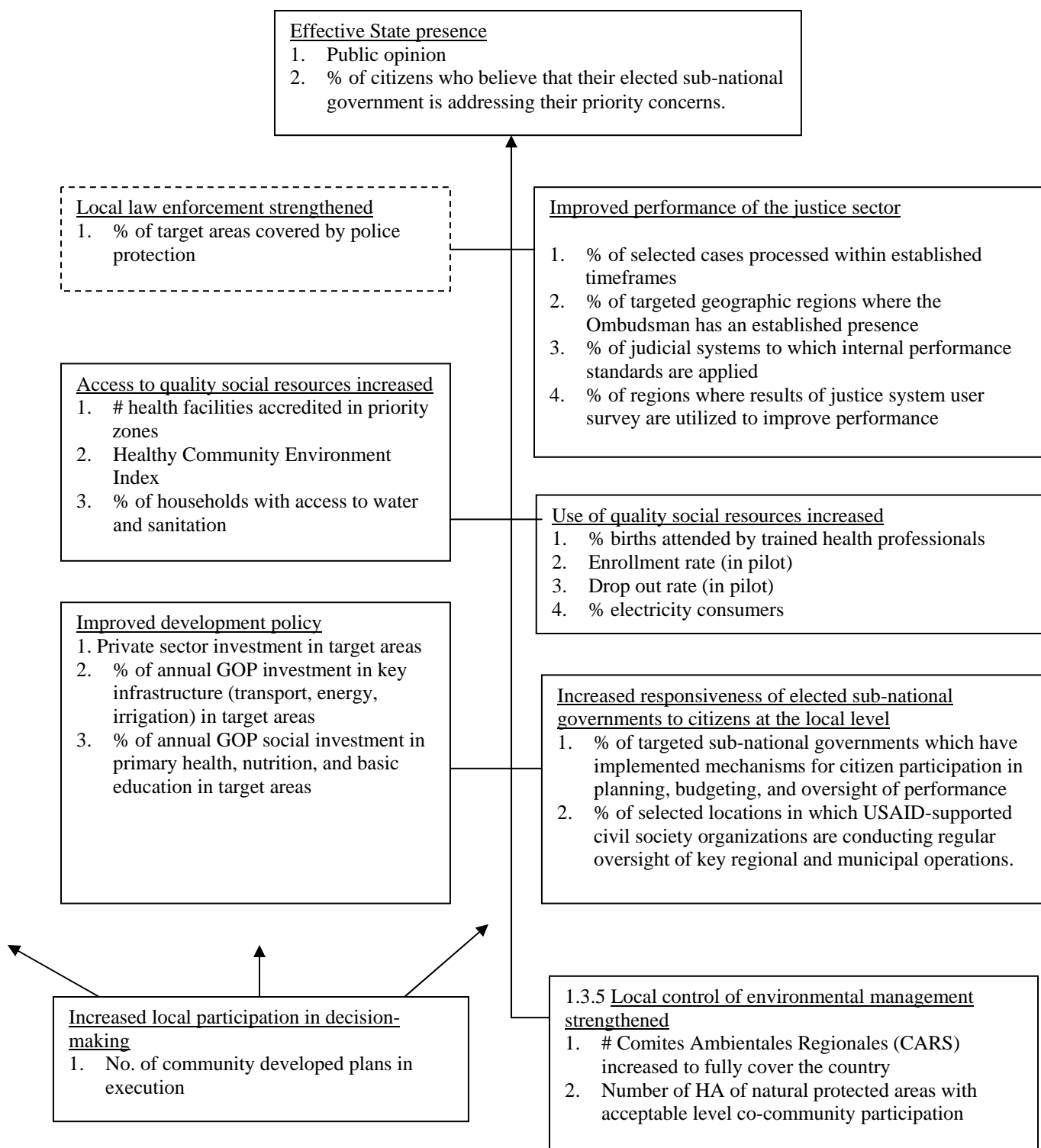
Attachment 2: TF 1st DRAFT Alternative Development Results Framework



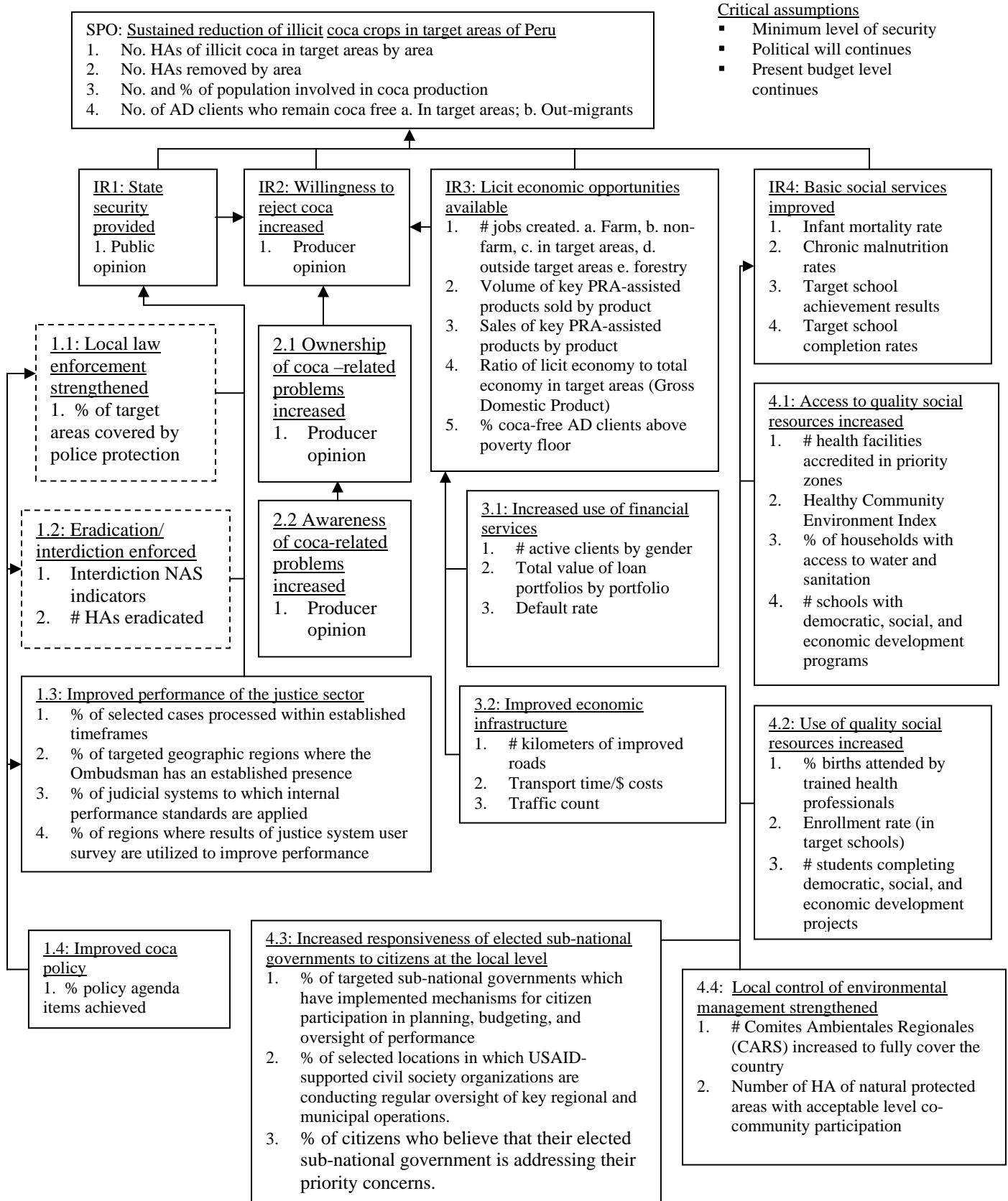


Attachment 3: Board 1st Draft Results Framework

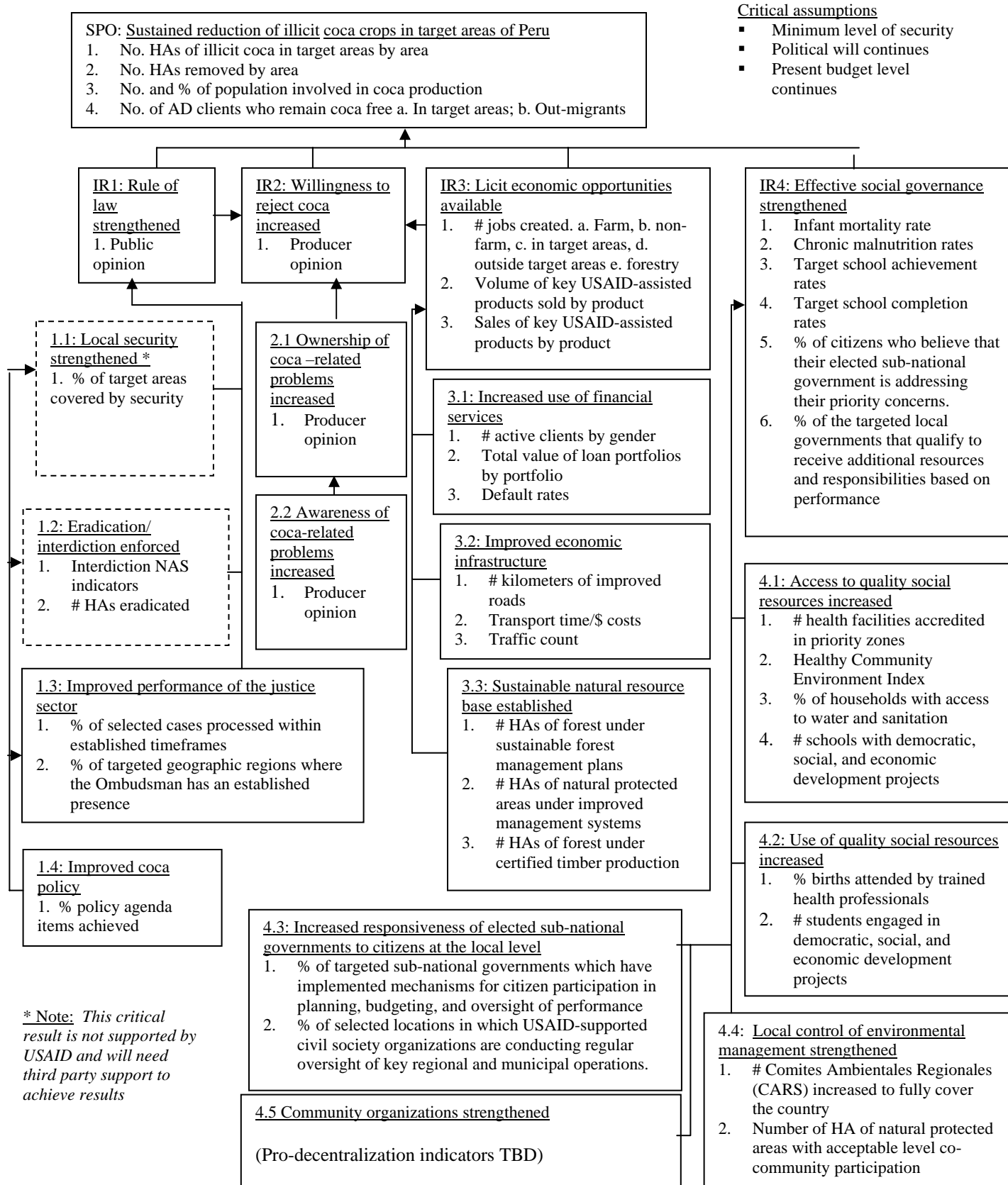




Attachment 4: TF 2nd DRAFT Alternative Development Results Framework



Attachment 5: Final DRAFT Alternative Development Results Framework



Attachment 6: Development Hypothesis

- I. There are four necessary conditions that lead to the strategic objective of “Sustained reduction of illicit crops in target areas of Peru”:**
 - 1. Rule of law**
 - 2. Public willingness to reject coca**
 - 3. Licit economic alternatives**
 - 4. Effective social governance**
 - **The existence of those conditions to the right extent will result in present coca producers leaving the business and prevent new entries.**
- II. Two of those conditions depend upon the State for long-term sustainability: Rule of law (IR1) and effective social governance (IR4).**
 - **There are 2 aspects of rule of law: 1. Maintenance of security with administration of justice; 2. Enforcement of coca policy.**
 - **There must be protection of human rights and property rights to allow a licit lifestyle.**
 - **Illicit activities must not be tolerated**
 - **The State must also provide the benefits of basic social services to improve social welfare and gain citizen support. Improved governance with responsiveness to citizens is a necessary means. Strong local community organizations and their involvement support responsiveness.**
- III. Producers and potential producers must be willing to reject coca (IR2). Considerations are: what licit economic alternatives are available, what the State will tolerate, and what social and individual values dictate, and individual levels of economic conditions.**
- IV. Licit economic opportunities have to be available or desperate people will continue to produce coca if it remains an option outside of State control (IR3). Those opportunities may encourage migration.**

Research Agenda:

- **How do the target areas compare in the existence of the 4 conditions and coca production/eradication?**
- **What licit economic opportunities do AD clients pursue and where?**
- **What is the minimum level of licit income necessary for producers to be willing to stop producing coca?**
- **What is the ratio of the licit to illicit economy in target areas?**
- **What is the level of licit income a. clients; b. non-clients**

Attachment 7: Indicator Baselines/Targets

Result	Indicators	Lead/Resources	Baseline	Target
SPO: Sustained reduction of illicit coca crops in target areas of Peru	1. No. HAs of illicit coca in target areas by area	AD SPO	Year: 01	03: 30,000
			Value: 34,000	04: 25,000
				05: 15,000
				06: 7,000
	2. No. HAs removed by area	New (CORAH)	Year:	03:
			Value:	04:
				05:
				06:
	3. No. and % of population involved in coca production	New AD SPO	Year:	03:
			Value:	04:
				05:
				06:
	4. No. of AD clients who remain coca free a. In target areas; b. Out-migrant	New AD SPO, SO 10 EO	Year:	03:
			Value:	04:
				05:
				06:
IR1: Rule of law strengthened	1. Public opinion	New AD SPO	Year:	03:
			Value:	04:
				05:
				06:
<i>1.1: Local security strengthened</i>	<i>1. % of target areas covered by security</i>	New	Year:	03:
			Value:	04:
				05:
				06:
<i>1.2: Eradication/ interdiction enforced</i>	<i>1. Interdiction NAS indicators</i>	<i>NAS (SPO)</i>	Year:	03:
			Value:	04:
				05:
				06:
	<i>2. # HAs eradicated</i>	<i>NAS (SPO)</i>	Year:	03:
			Value:	04:
				05:
				06:
1.3: Improved performance of the justice sector	1. % of selected cases processed within established timeframes	SO9:DG IR4.4(a)	Year:	03:
			Value: TBD	04:
				05:
				06:
	2. % of targeted geographic regions where the Ombudsman has an established presence	SO9:DG IR4.4 (b)	Year: 02	03: 50
			Value: 43	04: 60
				05: 75
				06: 100
1.4: Improved coca policy	1. % policy agenda items achieved	New AD SO	Year:	03:
			Value:	04:
				05:
				06:

Result	Indicators	Lead/Resources	Baseline	Target
IR2: Willingness to reject coca increased	1. Producer opinion	New (SPO)	Year:	03:
			Value:	04:
				05:
				06:
2.1 Ownership of coca –related problems increased	1. Producer opinion	New (SPO)	Year:	03:
			Value:	04:
				05:
				06:
2.2 Awareness of coca-related problems increased	1. Producer opinion	New (SPO)	Year:	03:
			Value:	04:
				05:
				06:
IR3: Licit economic opportunities available	1. # jobs created. a. Farm, b. non-farm, c. in target areas, d. outside target areas e. forestry	SO10: PRA disaggregation new	Year:	03:
			Value:	04:
			TBD	05:
				06:
	2. Volume of key USAID-assisted products sold by product	SO10: PRA	Year:	03:
			Value:	04:
			TBD	05:
				06:
	3. Sales of key USAID-assisted products by product	SO10: PRA	Year:	03:
			Value:	04:
			TBD	05:
				06:
3.1: Increased use of financial services	1. # active clients by gender	SO10: PRA IR2(1)	Year: 00	03:
			Value: 72,000	04:
				05:
				06: 132,000
	2. Total value of loan portfolios by portfolio	SO10: PRA IR2(1)	Year: 00	03:
			Value: 17,000	04:
				05:
				06: 40,000
	3. Default rates	New (SO10)	Year:	03:
			Value:	04:
				05:
				06:
3.2: Improved economic infrastructure	1. # kilometers of improved roads	New	Year:	03:
			Value:	04:
				05:
				06:
	2. Transport time/\$ costs	New	Year:	03:
			Value:	04:
				05:
				06:
	3. Traffic count	New	Year:	03:
			Value:	04:
				05:
				06:

Result	Indicators	Lead/Resources	Baseline	Target
3.3: Sustainable natural resource base established	1. # HAs of forest under sustainable forest management plans	SO12: ENV SO(1)	Year: 01	03: 5
			Value: 0	04: 6
				05: TBD
				06: TBD
	2. # HAs of natural protected areas under improved management systems	SO12: ENV SO(2)	Year: 01	03: 186
			Value: 0	04: 1,150
				05: 2,500
				06: TBD
	3. # HAs of forest under certified timber production	SO12: ENV IR2.4(4)	Year: 01	03: 100
			Value: 0	04: 300
				05: 600
				06: 1,000
IR4: Effective social governance strengthened	1. Infant mortality rate	SO11: H SO1.	Year: 00	03:
			Value: 52	04:
				05:
				06: 40
	2. Chronic malnutrition rates	SO10: PRA IR 4(1)	Year: 00	03:
			Value: 27.2	04:
				05:
				06: 17
	3. Target school achievement results	SO6: ED new	Year:	03:
			Value:	04:
				05:
				06:
	4. Target school completion rates	SO6: ED new	Year:	03:
			Value:	04:
				05:
				06:
	5. % of citizens who believe that their elected sub-national government is addressing their priority concerns.	SO9: DG IR2. (a)	Year: 02	03: P-40; D-40
			Value: P-40.1; D-38.7	04:
				05: P-50; D-50
				06:
	6. % of the targeted local governments that qualify to receive additional resources and responsibilities based on performance	SO9: DG IR2.3(a)	Year:	03:
			Value: TBD	04:
				05:
				06:
4.1: Access to quality social resources increased	1. # health facilities accredited in priority zones	SO11:H IR11.1.1 (2)	Year:	03:
			Value: TBD	04:
				05:
				06:
	2. Healthy Community Environment Index	SO11:H IR11.2.2 (1)	Year: 02	03:
			Value: TBD	04:
				05:
				06:
	3. % of households with access to water and sanitation	SO10: EOIR4(2)	Year:	03:
			Value: TBD	04:
				05:
				06:

Result	Indicators	Lead/Resources	Baseline	Target
	4. # schools with democratic, social, and economic development projects	SO6: ED new	Year:	03:
			Value:	04:
				05:
				06:
4.2: Use of quality social resources increased	1. % births attended by trained health professionals	SO11:H IR11.1 (2)	Year: 00	03: 52
			Value: 48	04: 58
				05: 62
				06: 65
	2. # students completing democratic, social, and economic development projects	SO6: ED new	Year:	03:
			Value:	04:
				05:
				06:
4.3: Increased responsiveness of elected sub-national governments to citizens at the local level	1. % of targeted sub-national governments which have implemented mechanisms for citizen participation in planning, budgeting, and oversight of performance	SO9:DG IR2.2 (a)	Year:	03:
			Value: TBD	04:
				05:
				06:
	2. % of selected locations in which USAID-supported civil society organizations are conducting regular oversight of key regional and municipal operations.	SO9:DG IR2.4 (a)	Year: 02	03: 65
			Value: 0	04: 65
				05: 65
				06: 100
4.4: Local control of environmental management strengthened	1. # Comites Ambientales Regionales (CARS) increased to fully cover the country	SO12: ENV 12.2 (1)	Year: 01	03: 23
			Value: 15	04: 25
				05:
				06:
	2. Number of HA of natural protected areas with acceptable level co-community participation	SO12: ENV SO (2) 5 th criterion	Year: 01	03: 186
			Value: 0	04: 1,150
				05: 2,500
				06: TBD
4.5: Community organizations strengthened	1. (Pro-decentralization indicators TBD)	SO9: DG	Year:	03:
			Value:	04:
				05:
				06:
			Year:	03:
			Value:	04:
				05:
				06:
			Year:	03:
			Value:	04:
				05:
				06:
				05:
				06: